

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

TABLE OF CONTENTS

I WHAT IS GRAMA? 2

II WHAT IS A RECORD? 2

III RECORDS CLASSIFICATIONS 3

IV DEFINITIONS 4

 A. WHAT IS A RECORD SERIES? 4

 B. RECORD RETENTION 4

 C. GENERAL RETENTION SCHEDULE 4

V PROCEDURES 4

 A. RECORDS TRANSFER SHEET 4

 B. TRANSFERRING RECORDS TO THE RECORDS CENTER 6

 C. DESTRUCTION OF RECORDS 7

VI RECORD SERIES BY BUREAU 7

 A. BUREAU OF MEDICAID OPERATIONS 8

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

This handbook was compiled to help DHCF employees manage their papers, books and other records. The information contained in this handbook is necessary for employees who routinely handle, file, store, and release records. The first step in understanding the record retention and archiving process is to become familiar with the Utah Government Records Access and Management Act (GRAMA).

I WHAT IS GRAMA?

GRAMA is the Government Records Access and Management Act whose legislative intent recognizes two Constitutional rights:

1. The public's right to access information about the public's business.
2. The right of privacy concerning personal information gathered by government.

II WHAT IS A RECORD?

GRAMA is important to the archiving process because it defines what a "record" is. Any item that does not meet the definition of a record does not need to be archived. The following is a definition of what constitutes a record:

"All books, letters, documents, papers, maps, plans, photographs, films, cards, tapes, recordings, electronic data, or other documentary materials regardless of physical forms or characteristics." [UCA 63-2-103(19)(a)]

GRAMA also describes items that are not considered records. For example, these include personal day planners, personal notes, daily calendars, duplicate copies of documents, and most drafts. Additional examples are found in GRAMA under UCA 63-2-103(19)(b).

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

III RECORDS CLASSIFICATIONS

The records that employees handle fall into any one or all of the following categories:

1. "Public Records" are records that are considered open for public review.
2. "Private Records" are open to the individual.
3. "Controlled Records" are records that are open to authorized persons or agencies, but not open to the individual to whom the records pertain.
4. "Protected Records" are records that contain non-personal data that are open to the person submitting the record and to authorized persons or agencies.
5. "Exempt Records" are records for which disclosure is limited or prohibited expressly by another statute, regulation or court rule.

It is important that employees learn the above-mentioned classifications, in order to understand what records can be disclosed under certain circumstances, and to place records in an appropriate record series for later filing and archiving purposes.

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

IV DEFINITIONS

A. WHAT IS A RECORD SERIES?

A record series is a group of records that may be treated as a unit for purposes of designation, description, management, or disposition. New employees should immediately become familiar with the records series in their respective units. This requires meeting with the archives representative from the unit to know all of the unit's records series that are on file at the Division of State Archives.

B. RECORD RETENTION

Retention is the period of time a record is maintained in the custody of an agency from creation to final disposition. The bureau director over each unit decides how long a record should be maintained in the office prior to it being sent to the State Records Center for storage and ultimate destruction, or whether the record should be transferred to State Archives permanently. This retention period is known as the "Retention Schedule." The retention schedule also gives a descriptive listing of a record series. For example, it lists the type of information that is contained in the record series such as billing, claims, diagnosis, reports, correspondence, etc. The retention schedule is included on the record series that is kept on file at the unit.

C. GENERAL RETENTION SCHEDULE

A general retention schedule is a listing of retention schedules for items that are common to multiple agencies. These items include internal committee and conference files, mailing lists, management improvement reports, minutes, organizational files, publications, policies and procedures manuals, etc. These items are already assigned a record series and a retention schedule that must be followed. Every employee should check with the archives representative from their unit to learn the records series of these items, so the retention schedule may be followed to archive these records.

V PROCEDURES

A. RECORDS TRANSFER SHEET

Once a record has met its retention schedule in the office, it may be transferred to the

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

State Records Center. This is accomplished by completing the Records Transfer Sheet that is also available at www.archives.utah.gov. This address takes you to the Division of State Archives website where you click on "Agency Services. Under the heading "Records Center Storage Services," click on the "The Records Transfer Sheet" category that requests the following information:

1. Agency Information that includes the agency name, mailing address, records officer name, records officer phone, person submitting the form, and the e-mail of the person submitting the form. The records officer is the archives representative who is from the respective unit.
2. Record Series Information that includes the series number, series title, inclusive dates of records being transferred (Month/Year).
3. Total Boxes to be Transferred.
4. Click on the box if the transfer includes non-paper records.
5. Under the heading "Description of Records Being Transferred," indicate the agency box number, the dates of what is in the box, and a summary of the box contents. Look at the "Example" box that is provided. Then, in the "Your Turn" box, include the information as shown in the "Example" box.
6. After all the necessary information is included, click on the "Submit" button.

If employees wish to fill out a hard copy of the form, they click on the "Agency Services" category on the main page of the website, and then under the "Forms" heading, click on "Printable Forms" to download a copy of the "Records Transfer Sheet" form. The form may be sent via State Mail to the State Records Center.

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

B. TRANSFERRING RECORDS TO THE RECORDS CENTER

The Records Transfer Sheet also acts as a shipping order when transferring records to the State Records Center. A completed original records transfer sheet must accompany the boxes being transferred. The following instructions should be followed to successfully transfer records to the State Records Center:

Prepare records for transfer to Records Center

Only use Records Center packing boxes that have Office Depot item number 285052.

To obtain the greatest economy in the storage of semi-active records, follow standard packing procedures:

Pack records in the same arrangement which they are maintained and created in your agency files. Do not create a new filing system.

Avoid over-packing boxes. Retrieving, shelving, and filing information is difficult in an over packed box.

Limit box contents to **one record series**.

Replace any Pendaflex folders (hanging file folders), binders, or three-ring notebooks with labeled manila folders.

Contact the Records Center (801) 975-4016 to make special arrangements if materials will not fit in a records center box.

Label boxes with a large black pen with indelible ink and include the following information directly on the box: agency name and city, agency-assigned box number (e.g., 99-1, 99-2, etc.), and record series number.

Arrange delivery

Agencies must make their own arrangements to deliver records to the Records Center by emailing or mailing the completed RTS(Records Transfer Sheet) to the Records Center as previously mentioned or faxing it at (801)974-0336. Once the RTS has been reviewed, the agency archives representative will be contacted to arrange a date for delivery.

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

Deliver boxes to the Records Center

Upon delivery, Records Services staff will verify that all boxes have been transferred according to Records Transfer Sheet information. Archives representatives should maintain a file of their RTS's to allow for retrieval of those records.

C. DESTRUCTION OF RECORDS

After the records have met their retention period at the State Records Center and are scheduled for destruction in accordance with the approved record series, the State Records Center sends a notice to the agency that the records are eligible for destruction pending approval from the Department. The person who needs to sign-off to have the records destroyed is the bureau director who initially approved the record series. The bureau director signs the notice and it is returned to the State Records Center as an approval to destroy the records.

A copy of the signed notice and approval should be given to the Division Archives Officer who keeps a destruction log for all destroyed records that include the type of record, the title of the record, the date the record was created, the retention period, and the date destroyed. This action ensures compliance with the law and helps the Department maintain control over its documents.

VI RECORD SERIES BY BUREAU

The following pages contain each bureau's records descriptions and the retention period. Any suggestions to improve this handbook should be directed to Craig Devashrayee. Thank you.

GOVERNMENT RECORD RETENTION AND ARCHIVING HANDBOOK

A. BUREAU OF MEDICAID OPERATIONS